

**Streamlined
Request for Qualifications**
(Electronic Submission Required)

Preconstruction Engineering & Construction Engineering Services

for

Project No. F-LC35(203)
300 East; 3300 South to 3900 South

October 17, 2013

UTAH DEPARTMENT OF TRANSPORTATION
Streamlined Request for Qualifications
Project No. F-LC35(203) & 300 East; 3300 South to 3900 South

Summary Sheet

Please direct all questions regarding Utah Department of Transportation's (UDOT) Streamlined Request for Qualifications (RFQ) and the selection process to the UDOT Contract Administrator and all questions concerning the project to the Project Manager or the Local Government contact.

1. **Project Number:** F-LC35(203)
2. **Location:** 300 East; 3300 South to 3900 South
3. **ePM PIN No.:** 8112
4. **Requested Services:** Preconstruction and Construction Engineering
5. **Source(s) of Funding:** Federal
6. **UDOT Contract Administrator:** Devon Tonks
Contract Administrator
Utah Department of Transportation
Consultant Services
Box 148490
4501 South 2700 West
Salt Lake City, Utah 84129-5998
801/965-4184
dtonks@utah.gov
7. **(LG) Project Management:** Dennis Pay
Public Works Director
South Salt Lake City
195 W Oakland Ave.
South Salt Lake City, Utah 84115
801/483-6038
dpay@southsaltlake.com
8. **UDOT Project Management:** Troy Peterson
Project Manager
Utah Department of Transportation
Region 2
2010 S 2760 W
Salt Lake City, UT 84104
801/887-3637
tlpeterson@utah.gov

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9. Streamlined Statement of Qualifications (Streamlined SOQ) Deadline:

See the Selection Schedule on Page 4

Submit one electronic PDF file of the Streamlined SOQ (unless directed otherwise in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*) to Devon Tonks by email at dtonks@utah.gov prior to 11:00 AM on the submission date found in the Selection Schedule on Page 4. **If SOQs are sent to RFQ Selection Team members there will be a two-point deduction.** You will receive an email acknowledgment of receipt.

Streamlined SOQs will not be accepted after the 11:00 AM deadline

10. Qualification Based Selection: This is a Qualifications Based Selection (QBS) process based on the Brooks Act. Cost is NOT a factor in the ranking of consultants to provide the services described in Appendix C *Scope of Work* on Page 21. Refer to Page 7 for additional information regarding the consultant selection process. The Brooks Act can be found on Page 27.

11. Type of Streamlined SOQ Required: Prepare SOQs in accordance with Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*, see Page 12.

If there are any changes affecting the Streamlined RFQ, notice will be sent out via an e-mail through the Consultant Services update service.

12. Construction Engineering Management Services: If this RFQ is for Construction Engineering Management Services, there are specific instructions in Appendix E *Instructions for Construction Engineering Management Services* of this RFQ. Certification will be confirmed at the time SOQs are submitted and again prior to Notice to Proceed.

13. Optional Oral Interviews: Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, the RFQ Selection Team may determine it is necessary to have interviews in order to make a selection. **Refer to the Selection Schedule on Page 4 for potential interview date.**

14. Notice to Proceed: To be issued by Consultant Services after contract execution. Direction to begin work from any other source is invalid and will result in non-payment for services provided without authorized notification to begin work.

15. Project Completion: Approximately **18** months from Notice to Proceed.

16. Forms: Examples of UDOT Consultant Services forms referred to throughout this RFQ are available on the UDOT Web site www.udot.utah.gov/go/csforms.

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Consultant Selection Schedule

Date	Day	Action
10/17/2013	Thursday	Posting of Streamlined RFQ on UDOT Consultant Services Project Advertisement website
10/31/2013	Thursday	Streamlined SOQs are due electronically by 11:00 AM.
11/13/2013	Wednesday	Streamlined RFQ Selection Team Meeting
11/20/2013	Wednesday	Consultant Selection Interviews
11/20/2013	Wednesday	Consultant Selection
11/26/2013	Tuesday	Mandatory Pre-Negotiation Meeting with Selected Consultant

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Overview:

UDOT Consultant Services staff facilitates RFQ Selection Teams through the ranking and selection of consultants to provide engineering services for transportation related projects. Consultant selection is a Qualification-Based Selection (QBS) process, where the primary factor in selection is the qualification-based criteria outlined by the RFQ Selection Team in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications* rather than the cost of engineering services. Cost is a secondary factor after a Consultant is selected and the negotiation process begins.

The RFQ Selection Team will review and evaluate submitted SOQs. SOQs are ranked for qualifications, based on pre-determined criteria. If the RFQ Selection Team determines Consultant Selection Interviews are needed in order to determine final ranking, then interviews will be included in the process. Final ranking will be determined by the average of the RFQ Selection Team members' scores from SOQs and Consultant Selection Interviews, if necessary (see Selecting by Consent on Page 19).

UDOT follows federal regulations in selecting consultants for engineering services, based on the Brooks Act (40 U.S.C. 11) found on Page 27. Cost is **NOT** a factor in the selection ranking of a Consultant to provide services. All price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used in SOQs. Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.

DO NOT include any reference to Consultant costs in the Streamlined SOQ. Any Streamlined SOQ submitted with ANY discussion of cost (other than cost control measures) **WILL BE DISQUALIFIED.**

Project Dates:

Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meetings. Consultants are also advised to meet other dates outlined in the Selection Schedule on Page 4. If a consultant fails to meet these dates the consultant will be considered non-responsive.

Required Percentage of Work for Prime Consultant:

The Consultant must perform work valued at not less than **60%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items that are not usually furnished by a Consultant performing the particular type of service requested in Appendix C *Scope of Work*.

Required Completion and Acceptance Criteria:

Progress payments will be made for work in progress. Final invoice payment, shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by UDOT as accurate and complete.

Applicable Federal and State Regulations:

The Consultant shall conform to all applicable state and federal regulations.

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Debarment Certification:

Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work:

Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

Required Key Personnel Qualification:

The Consultant shall be responsible to ensure all personnel proposed under this Streamlined RFQ are qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of UDOT standard practices.

The Consultant is expected to complete the form Appendix B for CEM Projects *Proposed Key Personnel to Be Used on UDOT Project*. Completed forms in SOQs should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in the Streamlined SOQ but will not count as one of the allowed pages.**

UDOT's requirement for listing current or former UDOT employees as key personnel in Streamlined SOQs is as follows:

- If a firm lists a former UDOT employee on the Streamlined SOQ who officially left UDOT employment prior to the submission date of the Streamlined SOQ, the firm will not be disqualified.
- If the firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, **the firm will be disqualified.**
- In addition, if a firm lists a UDOT employee who was involved in the development of the RFQ for this project, whether they are a current employee of UDOT or not, **the firm will be disqualified.**
- These requirements apply to prime and sub-consultants.

Required Availability of Key Personnel:

When Consultants list personnel on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* Form, the Consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

Required Streamlined SOQ Contents:

The Streamlined SOQ from the Consultant should contain the information identified in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

Streamlined SOQ Evaluation Procedures:

The RFQ Selection Team will evaluate the Streamlined SOQ in accordance with the criteria described in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

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Conditions of Proposal:

All costs related to the preparation of the Streamlined SOQ and any related activities such as interviews are the sole responsibility of the Consultant. UDOT assumes no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Streamlined SOQs:

Streamlined SOQs and their content become the property of UDOT and are treated as protected documents and are disposed of according to UDOT policies. UDOT reserves the right to reject all Streamlined SOQs. The Streamlined SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. Streamlined SOQs of Consultants who are not awarded contracts shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the Streamlined SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the Streamlined SOQ will be disclosed and that, unless the Consultant withdraws the Streamlined SOQ, it will be disclosed. If the Consultant withdraws their Streamlined SOQ, the Consultant will not be awarded the contract.

Ownership of Documents:

All tracings, plans, manuscripts, specifications, data, maps, etc. prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of UDOT.

Financial Screening:

UDOT requires consultants to be Financially Screened prior to performing work for UDOT. The selected Consultant has two weeks after selection to complete the financial screening process. **Inability to complete the financial screening process will disqualify the Consultant's SOQ, unless the delay is due to problems or delays by UDOT.**

The time it takes a Consultant to complete the Financial Screening process varies and therefore UDOT encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site www.udot.utah.gov/go/csforms. For questions, contact the Consultant Services Financial Screener at 801/965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

Audits:

Prior to final contract award, an audit may be conducted by UDOT of the selected Consultant. This audit will be for the purpose of ensuring the selected firm is financially capable of performing the contract, the cost information and prices quoted are reasonable,

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and the selected Consultant has adequate accounting practices to ensure accurate tracking of contract costs. UDOT reserves the right to inspect Consultant records associated with this project, including financial records, as deemed necessary during the term of the contract.

Prior to final acceptance of the contract work, UDOT may conduct a closing audit of the Consultant. This closeout audit will be performed upon completion of the contract to verify the accuracy of all billings and compliance with the contract provisions.

In the event that a proposing Consultant has failed to pay UDOT monies due to UDOT for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's Streamlined SOQ. Disqualification will be based on audit findings, determinations, and recommendations made by the UDOT Fiscal Audit Division.

Insurance Certificates:

The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Current insurance requirements can be found at www.udot.utah.gov/go/csmanuals.

Health Reform – Health Insurance Coverage in State Contracts Requirements:

As required by UCA 72-6-107.5, effective July 1, 2009, UDOT will not enter into a contract of \$1,500,000 or more with a prime Consultant or \$750,000 or more with a sub-consultant without demonstration of compliance regarding the offering of "Qualified Health Insurance Coverage" to their employees. Prior to issuing a Notice to Proceed, the Consultant must demonstrate compliance with the provisions of Administrative Rule R-916-5. A Consultant's inability to adequately demonstrate compliance may be grounds for determining a Streamlined SOQ non-responsive and UDOT moving on to negotiate with the new first-ranked responsive firm.

Subscription to the UDOT Consultant Services Update Service:

UDOT recommends Consultants interested in proposing a Streamlined SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT Web site www.udot.utah.gov/go/subscriptionlist.

If there are any changes affecting the Streamlined RFQ, notice will be sent out via an e-mail through the update service.

Consultant and/or Corporate Logos or Branding:

Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. This requirement does not apply to Streamlined SOQs. For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801/965-4639 or ghettrick@utah.gov.

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Consultants and/or corporations are specifically restricted from placing logos or branding on the following items:

- Plan Sheets or Title Blocks
- Environmental Documents
- Standard UDOT Forms
- Project Websites
- Cover Pages
- Headers/Footers; and
- Information and Display Boards for Public Meetings

Consultants are encouraged to place their company logos or brandings in their Streamlined SOQs.

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Appendix A

Guidelines for Preparing Streamlined Statement of Qualifications

Introduction:

These guidelines were developed to standardize the preparation of a Streamlined SOQ by Consultants for engineering services on a UDOT project. Submitting a Streamlined SOQ is the beginning of the selection process and is used as the basis for selecting or for short-listing Consultants. If the RFQ Selection Team determines interviews are necessary prior to selection, a minimum of at least two Consultants will be short-listed and invited to an interview by the RFQ Selection Team.

The purpose for these guidelines is to ensure consistency in format and content in the Streamlined SOQ prepared by Consultants and submitted to UDOT. Preparing a Streamlined SOQ instead of a detailed proposal reduces the time requirements for consultants and simplifies the review process for the RFQ Selection Team.

Electronic Submission:

UDOT's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all Streamlined SOQ submission to be received solely by electronic means.

Streamlined SOQ Sections:

The Streamlined SOQ should contain the following sections in the order listed:

1. Cover Page
2. Project Team
3. Capability of the Consultant
4. Approach to the Project
5. Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*

Streamlined SOQ Evaluation Criteria:

The Streamlined SOQ evaluation criteria are listed below in red.

1. **Cover Page**

The Cover Page is one page. It must be on the Prime Consultant's letterhead and consist of the following with no additional information:

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Cover Page	
Date	
RFQ Name and Description	
Prime Firm	
Prime Firm's Federal ID#	
Sub-consultants (if any)	
Primary Contact	
Primary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Secondary Contact	
Secondary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Signature Block	
Name	
Title	
Signature	

The information is not required to be in this exact format, as long as each item of requested information is presented, **with no additional information**. If there is any other information provided in the Cover Page, the Cover Page will be stripped from the SOQ and will not be provided to the RFQ Selection Team. **In addition, a one-point deduction will be assessed if the Cover Page includes additional information.**

No evaluation points are assigned to this section and the Cover Page will not count as one of the allowed pages.

2. **Project Team** – The RFQ Selection Team will evaluate how well the qualifications and experience of the proposed project team members relate to the specific project. The RFQ Selection Team recommends the following information be provided.

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- Project team flow charts including sub-consultants (see sample *Project Organization and Related Experience Chart* available on the UDOT Web site www.udot.utah.gov/go/csforms).
- Describe the qualifications, experience, and availability of key personnel on your project team. (NOTE: Do not include percentages of availability as this may be misinterpreted as a reference to cost.)
- Provide a spreadsheet list of projects **completed** by key team members during the last five years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Related Experience Chart* available on the UDOT web site www.udot.utah.gov/go/csforms.) Note: Columns may be combined in order to meet the font size and margin requirements under *Streamlined SOQ Format Requirements* on Page 16.
 - Name of Project Manager
 - Year
 - Type of Project
 - Project Name
 - Project Location
 - Project Description
 - Construction Estimate Cost - \$Million
 - Services Performed / Specific Project Role
 - Client
 - Reference Contact and Telephone Number

A maximum of 40 points is available for this section.

3. **Capability of the Consultant** – The RFQ Selection Team will evaluate the Consultant's capability to perform the work.
- Describe your firm's capability to perform the work.
 - Describe any unique qualifications your firm has to perform this type of work.
 - Describe your firm's internal quality and cost control procedures.
 - Describe your firm's experience with the specific type of work identified in Appendix C *Scope of Work*
 - Identify the location of the main office of the proposing firm and the logistics relating to how the project team will provide the services requested.
 - Describe the overall performance record of the proposed project team firms.
 - Provide an analysis of the project team firms' current workload

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- Required Project Closeout Table
 - An efficient project closeout process is critical to the success of construction engineering management services. Include a table of your most recent project closeouts (up to five) where your project team was directly involved in the closeout process. For each project indicate the substantial completion date, the date the package was submitted to the Region Contract Specialist (RCS) and the date the package was submitted to UDOT Central Construction. Provide a brief explanation for any date variances greater than 30...60...90 days, respectively (one line per project, if needed – do not wrap text). See example table provided.

Project	Substantial Completion Date	Submit to Region RCS Date	Submit to UDOT Central Const Date
Project A	10/31/11	1/1/12	2/1/12
Project B	6/30/11	1/1/12	2/1/12
Project C	4/15/11	12/1/11	2/1/12
Project D	1/31/11	10/10/11	2/15/12
No other projects			
Brief Variance Footnote (one line per project, if needed – do not wrap text)			

A maximum of 30 points is available for this section.

4. **Approach to the Project** – The RFQ Selection Team will evaluate how well you have planned a basic course of action, what alternatives and/or preliminary approaches are proposed, and what provisions are identified for dealing with potential impacts.
 - Briefly describe the course of action proposed to meet the needs, goals or objectives of the project.
 - Identify key project milestones.
 - Identify potential impacts, impediments, conflicts or potential mitigation.

A maximum of 30 points is available for this section.

5. **Appendix B for CEM Projects Proposed Key Personnel to be Used on UDOT Project** -- The Consultant is expected to complete the Appendix B for CEM Projects *Proposed Key Personnel to be used on UDOT Project* (see example in this RFQ). Firms are not required to use this example form, as long as all necessary information is included in a form presented in the SOQ. The form must state the certification and education levels of the individuals proposed for use on this contract, including sub-consultants' personnel.

When Consultants list personnel on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the services in the contract at whatever level the project requires.

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The completed form must be included in the SOQ, but will not count as one of the allowed pages. No other information is allowed on these pages. No evaluation points are assigned to this section.

Streamlined SOQ Format Requirements:

It is very important that SOQs be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the RFQ Selection Team.

A maximum total of 100 points is available for the Streamlined SOQ.

One-point penalty deductions:

1. **Color is Allowed.**
2. **8½ x 11 Size Paper Only** – If there are exceptions to this requirement, they are addressed below in the list of Disqualifications.
3. **One-inch (1") Margins** – Exceptions: Consultant Name/Logo and Page Headers/Footers may be within margin.
4. **Font and Spacing Requirement** – The body of the SOQ is required to be written with a 10-point [or greater] standard Arial or Times New Roman font, including the Cover Page, Project Experience Table and Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*. Exceptions will be made for section headings, paragraph headings, graphics, headers and footers. Excepted text may be any other font and size as long as the text is reasonable and can be easily read by reviewers without the need of magnification in order to understand what is being presented. The minimum line spacing is 12-point.
5. **Charts, Graphs, and Pictures** – Optional and counted as page(s). If the graphic is a duplicate from another source, it must be referenced. Charts, graphs, headings, and headers/footers are excepted from the font requirements, see font requirement above.
6. **Page Headers/Footers** – May be within the one-inch margins; and must include Project Number, Project Location/Description, and Current Date.
7. **Cover Page** – Is required as the first page of the PDF, but does not count towards the page maximum. The Cover Page must be on the Prime Consultant's letterhead and is limited to the instructions provided. The Cover Page may be presented in any format the Consultant chooses, i.e. text, chart, etc. The Cover Page must meet the font requirement above. No additional informational information is allowed. No additional back page is allowed.
8. **Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*** – The completed form is required and will not count towards the page maximum.

A one-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirements for a maximum eight-point penalty per Streamlined SOQ.

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Two-point penalty deductions:

9. **Do not send SOQs to RFQ Selection Team Members** – send SOQs to the contract administrator, not directly to any RFQ Selection Team members, see instructions on Page 3.
10. **Proof of Construction Certification** – Consultants are expected to provide a fully certified project team to provide the services requested in this RFQ. Consultants are expected to maintain and review UDOT records regarding their staff certifications and to ensure UDOT records reflect their firm's records. A requirement for a responsive SOQ is to provide proof that every proposed staff member meets the certification requirements for their proposed role on the project. Therefore, **Consultants are required to provide a second PDF in the same email with their SOQ PDF**, showing the appropriate certifications have been met and are reflected in UDOT records. **See Appendix E Instructions for Construction Engineering Management Services for specific requirements.**

Two-point penalties will be assessed by Consultant Services for violation of the above format requirement(s).

Disqualifications:

11. **Late Submission** – Any SOQ received by Consultant Services after the 11:00 AM deadline.
12. **Electronic PDF Submission** – Submit one PDF file (containing all of the SOQ sections in the order presented in Streamlined SOQ Sections on Page 12) to Devon Tonks at dtonks@utah.gov. (If the RFQ is for Construction Engineering Management a second PDF is required for Proof of Construction Certification, refer to Page 31 for further details.)
13. **Cost Discussion** – Do not include any reference to costs in the Streamlined SOQ. Cost discussions are not allowed (other than cost control measures). Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.
14. **Use of UDOT staff** – Use of current UDOT employees or former staff who were involved in the development of the Streamlined RFQ. Refer to Required Key Personnel Qualification on Page 8 for more information.
15. **Financial Screening** – Consultants are required to complete the UDOT Financial Screening process within two weeks of selection. Refer to Financial Screening discussion on Page 9 for further details.
16. **Six (6) Page Maximum** – (Cover Page and Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* do not count towards the page maximum.)

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A page is defined as a single-sided 8.5" x 11" sized sheet that contains text, pictures, tables, graphs, charts, plan sheets, or any other graphics.

Do not include a reference or link to additional information. If SOQs contain references or links, UDOT Consultant Services will assume additional pages are used.

17. Construction Proof of Certification -- (See Appendix E *Instructions for Construction Engineering Management Services* on Page 28 for additional information)

- Staff members included on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* do not meet certification requirements for their proposed role on the project
- Proof of construction certification is not received for CEMT, IQP and Partnering
- Proof of certification is submitted in a format other than the requested PDF (exported or Excel files)
- Proof of certification printouts do not reflect system date stamps between **Error! Reference source not found.** October 18, 2013 and the SOQ/LOI submission deadline (up to a two-week window)
- Labs (LQP) and Technicians (TTQP) are not certified

18. Other – UDOT reserves the right to disqualify a Streamlined SOQ when the intent of the Streamlined RFQ process is violated.

Any Streamlined SOQs committing violations to the above format requirements will be disqualified by Consultant Services and will not be reviewed by the RFQ Selection Team.

Streamlined RFQ Selection Team:

The RFQ Selection Team members will receive copies of each responsive Streamlined SOQ submitted. They will review and score the Streamlined SOQs individually based on the evaluation criteria and submit their scores and comments to the UDOT Contract Administrator. The Administrator will tally and compile the scores and comments. The RFQ Selection Team will then meet to discuss the SOQs and comments from individual RFQ Selection Team members and determine whether interviews are necessary or whether the selection may be made based on the averaged scores from the Streamlined SOQs. Final Streamlined SOQ score results are the average of voting RFQ Selection Team members' scores.

Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, if the RFQ Selection Team determines it is necessary to have interviews in order to make a selection, the members will develop the format of the interviews in the RFQ Selection Team Meeting by completing the *Consultant Selection - Interview Format Worksheet* found on the web site www.udot.utah.gov/go/csforms.

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Selection Interviews:

The Streamlined RFQ is intended to reduce the level of effort required to compete for and administrate the selection process. Interviews are anticipated to take place rarely (i.e. in the event the first place ranking is a tied score of two or more firms, or other extenuating circumstances).

If the RFQ Selection Team determines interviews are necessary, examples of project-specific topics may include such issues for discussion as:

- Understanding of the Work
- Approach to the Project
- Schedule Control
- Management of Project

“Selecting by Consent” Process:

The final selection process during interviews will be performed using the “Selecting by Consent” (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the RFQ Selection Team in developing final ranking through a collaborative process. In this process each segment and question of the interview is weighted in advance during the RFQ Selection Team Meeting. After the interviews are conducted, the RFQ Selection Team scores each segment and question by “consent”. Consent is defined as the willingness of all RFQ Selection Team members to accept a decision reached by a collaborative process. The final ranking is based on the final scores developed by the RFQ Selection Team using the *Consultant Selection - Interview Scores Example* found on the UDOT web site www.udot.utah.gov/go/csforms. See the form for more information regarding this process.

Summary:

The Streamlined SOQ should be clear, concise, and it should provide the RFQ Selection Team Members with an understanding of the proposed Consultant Team’s ability to undertake and complete the proposed project successfully in a thorough, efficient and timely manner

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Rev. 6/10/2013

Appendix B for CEM Projects
Proposed Key Personnel to Be Used On UDOT Project

Name	Firm Name	Title (Proposed on project)	Certification Category/Level	Utah License / Certification No. / WAQTC No.	Other State License/ Certification No.	Education Level
Project Roles (Mark all that apply) – CEMENT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering , <input type="checkbox"/> Lab Manager TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT, <input type="checkbox"/> AsTT, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SDTT, <input type="checkbox"/> SRD TT, <input type="checkbox"/> SRTT, <input type="checkbox"/> Other _____						
Project Roles (Mark all that apply) – CEMENT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering , <input type="checkbox"/> Lab Manager TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT, <input type="checkbox"/> AsTT, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SDTT, <input type="checkbox"/> SRD TT, <input type="checkbox"/> SRTT, <input type="checkbox"/> Other _____						
Project Roles (Mark all that apply) – CEMENT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering , <input type="checkbox"/> Lab Manager TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT, <input type="checkbox"/> AsTT, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SDTT, <input type="checkbox"/> SRD TT, <input type="checkbox"/> SRTT, <input type="checkbox"/> Other _____						
Project Roles (Mark all that apply) – CEMENT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering , <input type="checkbox"/> Lab Manager TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT, <input type="checkbox"/> AsTT, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SDTT, <input type="checkbox"/> SRD TT, <input type="checkbox"/> SRTT, <input type="checkbox"/> Other _____						
Project Roles (Mark all that apply) – CEMENT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering , <input type="checkbox"/> Lab Manager TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT, <input type="checkbox"/> AsTT, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SDTT, <input type="checkbox"/> SRD TT, <input type="checkbox"/> SRTT, <input type="checkbox"/> Other _____						
Project Roles (Mark all that apply) – CEMENT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering , <input type="checkbox"/> Lab Manager TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT, <input type="checkbox"/> AsTT, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SDTT, <input type="checkbox"/> SRD TT, <input type="checkbox"/> SRTT, <input type="checkbox"/> Other _____						

- Include all key personnel who are proposed to work on UDOT project including sub-consultants. Add additional pages if needed.
- Consultants are required to identify certification for each employee working on a Construction Engineering Management contract. Failure to identify certification levels may result in contract delays and/or loss of contract.
- If a Consultant has a change in key personnel during a project, they are required to submit the proposed change in writing within 10 working days to the UDOT Project Manager (and Local Government, if applicable) for approval. If the Project Manager (PM) approves, the PM will forward the change and their approval to UDOT Consultant Services and the Comptroller's Office within 10 working days. If the PM does not approve, they may request a revision of the proposal, score the Consultant lower on the Consultant Project Evaluation, or terminate the contract.
- The Form and an example of the completed form along with further descriptions of the column headings are available on the UDOT Website www.udot.utah.gov/go/csforms.

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Appendix C

Scope of Work

Background

The City of South Salt Lake proposes to improve the existing 300 East South roadway from approximately 3300 South to 3900 South. Improvements consist of removing the existing asphalt pavement and replacing it with new concrete or asphalt pavement, upgrading the existing drainage system and replacements of curb, gutter and sidewalk, where necessary.

Scope of Work

General Requirements

1. The consultant will be required to conduct all necessary coordination with South Salt Lake City, UDOT, FHWA, WFRC, and any other jurisdiction to obtain formal approval of the preconstruction engineering (PE) and construction engineering management (CEM).
2. Consultant shall coordinate and conduct a public information meeting to inform residents of the proposed project. Conduct all required public meetings during construction. Provide personnel to take official minutes of meetings and incorporate public comments into design where applicable.
3. Assemble maps of all applicable utilities, including; gas, power, sewer, telephone, water, irrigation and storm drain lines. Coordinate with all utility companies to ensure all master planned facilities and upgrades are installed prior to construction of the roadway, and to ensure that all design conflicts are addressed prior to construction by completing a subsurface utility engineering analysis, quality level A.
4. Consultant shall follow the UDOT design and construction management process.

Meet with South Salt Lake City and UDOT staff at key points throughout the course of the project to review design criteria and discuss progress. Progress meetings will include an initial kick off meeting with South Salt Lake City and UDOT staff to clarify the scope of work and bi-weekly (or as necessary) progress meetings to update, advise and obtain direction.

Phase II - Design Study Report

Prepare all reports, preliminary design and all other tasks necessary to complete the Design Study Report (DSR) as per the UDOT Design Process, FHWA requirements and WFRC guidelines for the project.

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Phase III - Complete Final Project Design

1. Complete the full design for the 300 East Project - Phase 1 compliance with the UDOT Design procedures to include
 - project management
 - quality assurance and quality control
 - development of mapping and topography
 - development of roadway plans
 - structural geotechnical design
 - final structure plans (structural walls and minor structures)
 - hydraulic plans
 - landscaping plans
 - signal and lighting plans
 - assemble and conduct PS&E review meeting
 - complete utility plans and subsurface utility engineering (SUE).
1. Complete any necessary utility upgrades as requested by South Salt Lake City Utilities.
2. Conduct all public meetings prior to the construction phase.

Phase IV - Right of Way

1. Based on final location of improvements, develop right-of-way plans and instruments for delivery to the City/UDOT for City/UDOT's use in appraising and acquiring necessary property for the construction of the project.
2. Consultant will be required to provide survey staking as necessary as part of the City/UDOT's acquisition process.
3. Consultant will coordinate and provide necessary engineering design information to the right-of-way acquisition team.

Phase V - Prepare Bid Documents

1. Prepare and print bid documents including all necessary specifications and design drawings for the general contract that includes construction of the full design. Prepare and submit the bid package following the UDOT bid and advertising process.
2. Provide technical specifications that meet or exceed UDOT Specifications and the latest published edition of the APWA Manual of Standard Plans, and Manual of Standard Specifications, and other South Salt Lake City Standards as applicable.
3. The plan drawings shall be computer generated meeting all UDOT requirements. The consultant will provide the final design drawings and the as-built drawings to the

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City and UDOT in both hard copy and on disks compatible with the City's computer system. Drawings will be prepared on 11" X 17" sheets, and shall become the property of the City.

Phase VI: Construction Engineering Services

Answer bidder's questions during the bid period, issue addenda, conduct a public information pre bid meeting outlining overall project, make an abstract of bids, and make a recommendation, in writing, for the award of the contract. Support UDOT structures during construction in the review of structure shop drawings and construction services

Phase VII: Construction Engineering Management (CEM)

1. The CEM Team will act as Resident Engineer and confer with the Construction Contractor in behalf of UDOT during the construction of the project. The CEM Team will provide control over the project as described in the UDOT Construction Manual of Instruction.
2. The CEM Team shall have administrative authority to enforce all contract provisions, specifications and plans, and perform engineering and inspection duties, surveying inspection, material testing, and functions for UDOT as required under current UDOT and Federal Highway Administration construction policies and procedures. If during the construction phase of the project, there are instances where the requirements of the construction contract may be unclear or need further clarification; UDOT has final authority in interpreting and enforcing the contract.
3. The CEM Team will monitor and check Contractor submissions and subcontractor agreements; implement partnering; prepare and justify change orders; process claims and reviews; update schedules; keep contract time; prepare overrun/underrun statements; provide informal meetings for claims; and keep complete and accurate documentation using accepted UDOT forms and procedures. The CEM Team will obtain and process all Contractor payment requests through UDOT.
4. The CEM Team will administer the coordination and relocation of utilities in accordance with the requirement of the UDOT Construction Manual of Instruction
5. The CEM Team will complete the project accounting under the UDOT's accounting process.
6. The CEM Team will hold weekly coordination meetings with the Contractor's Construction Superintendent/Foreman, UDOT, South Salt Lake City, PIM and utility company representatives to update the schedule, and discuss and coordinate the following week's work.
7. The CEM Team will assure the contractor's traffic control and traffic control plan follows MUTCD and UDOT policies and standards.

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Construction Engineering Management

All qualified Consultants desiring to provide Construction Engineering Management (CEM) services for Local Government projects are required to provide the following information:

- Documentation of having previously performed at least one successful Local Government CEM project in Utah
- Construction Training certification
 - Proof of certification will be required with the SOQ for selection and will be confirmed when any CEM contracts are prepared.

Tasks to be performed include, but are not limited to:

- Conduct all necessary meetings from advertisement to the post construction conference
- Monitor the contractor's work for safety, adherence to the traffic control plan, and compliance with appropriate plans and specifications related to the project
- Continuous on-site monitoring of the contractor's work
- Resolve any issues arising with the contractor
- Review plans and drawings, process change orders and complete claim reviews
- Project documentation and accounting
- Coordinate Civil Rights activities with the contractor's staff
- Complete field and lab testing and inspection
- Provide construction public involvement as directed by UDOT
- Complete QC/QA activities
- Complete contract closeout

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Appendix D

Additional Information

QC/QA Plan Requirements:

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. UDOT has adopted QC/QA standards and the Consultant must meet or exceed these requirements. The Standard for Design is available on the UDOT Web site www.udot.utah.gov/go/qcqa
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

UDOT Reference Items:

- UDOT CADD use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS).
- UDOT Construction Manual of Instruction (available online at the UDOT Web site www.udot.utah.gov/go/Manuals).
- UDOT Consultant Services Manual of Instruction (available on-line at the UDOT Web site www.udot.utah.gov/go/CSManuals).
- UDOT Drainage Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT Environmental Process Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT Utility Coordination Manual of Instruction (available on-line from the UDOT web site www.udot.utah.gov)
- Other UDOT manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT ProjectWise use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS).
- UDOT Reference Material (available on-line from the UDOT Web site at www.udot.utah.gov/go/StandardsReferences).

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- UDOT Right of Way Design and Operations Manuals (available on-line from the UDOT Web site at www.udot.utah.gov/go/Manuals).
- UDOT Roadway Design Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT Standards (available on-line from the UDOT Web site at www.udot.utah.gov/go/2012Standards).
- UDOT Traffic and Safety Highway Sign Policies and Manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/HighwaySignPolicy).
- UDOT 2013 Strategic Direction & Performance Measures (available on-line from the UDOT web site at www.udot.utah.gov/go/StrategicDirection).
- State of Utah Web Standards and Guidelines are available on-line from the web site at <http://www.utahta.wikispaces.net/Application+Architecture>).

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The Brooks Act of 1972:

Federal Government Selection of Architects and Engineers

United States Code (U.S.C.) Title 40 - Public Buildings, Property and Works

Chapter 11, Section 1101 - 1104: Selection of Architects and Engineers

§ 1101. Policy (Formerly 40 U.S.C. § 541)

The policy [of the Federal Government] is to publicly announce all requirements for architectural and engineering services and to negotiate contracts for architectural and engineering services on the basis of demonstrated competence and qualification for the type of professional services required and at fair and reasonable prices.

§ 1102. Definitions (Formerly 40 U.S.C. § 542)

In this chapter, the following definitions apply:

1. **Agency head.**- - The term "agency head" means the head of a department, agency, or bureau [of the Federal Government].
2. **Architectural and engineering services.**- - The term "architectural and engineering services" means- -
 - A. professional services of an architectural or engineering nature, as defined by state law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide the services described in this paragraph;
 - B. professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and
 - C. other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.
3. **Firm.**- - The term "firm" means an individual, firm, partnership, corporation, association, or other legal entity permitted by law to practice the profession of architecture or engineering.

§ 1103. Selection procedure (Formerly 40 U.S.C. § 543)

- a. **In general.**- - These procedures apply to the procurement of architectural and engineering services by an agency head.
- b. **Annual statements.**- - The agency head shall encourage firms to submit annually a statement of qualifications and performance data.
- c. **Evaluation.**- - For each proposed project, the agency head shall evaluate current statements of qualifications and performance data on file with the agency, together with statements submitted by other firms regarding the proposed project. The agency head shall conduct discussions with at least 3 firms to consider anticipated concepts and compare alternative methods for furnishing services.
- d. **Selection.**- - From the firms with which discussions have been conducted, the agency head shall select, in order of preference, at least 3 firms that the agency head considers most highly qualified to provide the services required. Selection shall be based on criteria established and published by the agency head.

§ 1104. Negotiation of contract (Formerly 40 U.S.C. § 544)

- a. **In general.**- - The agency head shall negotiate a contract for architectural and engineering services at compensation which the agency head determines is fair and reasonable to the Federal Government. In determining fair and reasonable compensation, the agency head shall consider the scope, complexity, professional nature, and estimated value of the services to be rendered.
- b. **Order of negotiation.**- - The agency head shall attempt to negotiate a contract, as provided in subsection (a), with the most highly qualified firm selected under [section 1103](#) of this title. If the agency head is unable to negotiate a satisfactory contract with the firm, the agency head shall formally terminate negotiations and then undertake negotiations with the next most qualified of the selected firms, continuing the process until an agreement is reached. If the agency head is unable to negotiate a satisfactory contract with any of the selected firms, the agency head shall select additional firms in order of their competence and qualification and continue negotiations in accordance with this section until an agreement is reached.

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Appendix E

Instructions for Construction Engineering Management Services

Construction Qualifications Program Overview:

In 2009 UDOT implemented a construction training program which requires proposed labs and personnel meet and maintain current certification levels for construction staff. This section discusses training requirements and certification for proposed project team members.

If records posted on the UDOT web sites do not reflect current data, please contact UDOT personnel and resolve issues before SOQs are due.

- Contact for confirmation of certification for CEMT, IQP and Partnering
 - Mike Garcia, mikegarcia@utah.gov, 801/957-8538
 - Rachel Axelrod, raxelrod@utah.gov, 801/965-4318 (backup)
- Contact for confirmation of certification for LQP and TTQP
 - Amy Rico, arico@utah.gov, 801/633-0623
 - Howard Anderson, handerson@utah.gov, 801/965-4065 (backup)

Certification Requirements:

Proposed construction engineering personnel and labs are required to meet and maintain current:

- Construction Engineering Management Training Certification (CEMT)
- Inspection Qualification Program Certification (IQP)
- Partnering Certification
- Transportation Technician Qualification Program Certification (TTQP), and
- Laboratory Qualification Program Certification (LQP)

It is the responsibility of the Consultant Firm to ensure that UDOT records reflect the certification records of the Consultant. **Firms proposing a lab or staff not currently certified and posted on the UDOT Construction and Materials web sites, will result in disqualification or point deductions as outlined below.**

Use Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* found on the web site www.udot.utah.gov/go/csforms for any construction phase contracts to aid UDOT personnel in confirming certification. The form on the website is an example. Variations will be permitted as long as all necessary information is included in the form presented in the SOQ.

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Construction Engineering Management Training (CEMT) Certification

- www.udot.utah.gov/go/cemt
- Applies to the following members of the Consultant's proposed team:
 - Resident Engineer (RE)
 - The RE is a professional engineer who provides project oversight for UDOT and Local Government projects according to the UDOT Construction Manual of Instruction (MOI). The RE works under the supervision of a UDOT Resident or District Engineer. The RE supervises a CEM crew.
 - Field Engineer (FE)
 - The FE is the individual(s) who may be a professional engineer or EIT, assist with the RE duties and provides field supervision.
 - Office Manager (OM)
 - The OM is the individual(s) who will be providing PDBS data entry; monthly pay estimates, and maintaining project records.
 - The OM is responsible for construction project closeout.
 - Certifications required for this selection process
 - One RE's
 - One FE's
 - One OM's

Inspection Qualification Program (IQP) Certification

- www.udot.utah.gov/go/iqp
- Applies to:
 - All inspectors
 - Four Inspectors

Partnering Certification (All phases)

- www.udot.utah.gov/go/partnering
- Applies to the following members of the Consultants proposed team:
 - Vice President level (management)
 - Discipline Manager
 - Project Manager
 - Resident Engineer
 - Field Engineer
 - Office Manager
 - Level IV Inspectors
 - Lab Managers (as of April 15, 2013)

Crash Cushion and Partnering – Pending Classes:

If an individual is registered and has paid for an upcoming course required for certification, the date of the course will be entered in the UDOT Construction Qualification Programs database. The Consultant should send proof of payment and registration for courses to Mike Garcia and/or Rachel Axelrod to update the on-line Construction Certification Charts before printing the charts for submission with the SOQ.

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If the course is then not attended, the individual's certification will expire. If the course is successfully completed, the expiration date will be updated. Please note, an individual will only be granted this grace period once therefore, if the individual does not attend, they will not be certified again until they successfully complete the course. If a course is not currently scheduled, individuals will be given a grace period until one is scheduled.

Transportation Technician Qualification Program (LQP/TTQP) Certification

- www.udot.utah.gov/go/materials
- Applies to the following members of the Consultants proposed team:
 - Lab technicians
 - Identify all materials testing staff on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*. Potentially one technician may be certified in more than one area of testing. Staffing must meet the minimum number of technicians in each area to meet the needs of the project.
 - Include WAQTC numbers for each technician on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*
 - **Minimum certifications required** for this selection process (must be met as a team)
 - AgTT – Aggregate
 - AsTT or AsTT2 – Asphalt or Asphalt 2
 - CsTT – Concrete Strength
 - CTT – Concrete
 - EbTT – Embankment
 - SRDTT – Sampling, Reduction and Density (can be met with a combination of other certifications)
 - Optional certifications for this selection process
 - DTT
 - LbTT
 - SMD
 - SDTT
 - SRTT
 - The UDOT Construction and Materials Director or UDOT Materials Engineer will approve any deviation for required certifications for specific projects.

Lab Qualification Program (LQP) Certification

- www.udot.utah.gov/go/materials
- Applies to:
 - Lab
 - If a Consultant firm does not have its own lab, there will be no point deductions or penalties, but a sub-consultant lab and team is required in order to ensure TTQP and LQP requirements are met for the project selection. Include sub-consultant information on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*.

Please identify all materials testing staff on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*.

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Proof of Construction Certification

Consultants are expected to provide a fully certified project team for the services requested in this RFQ. Consultants are responsible to maintain and review UDOT records regarding their staff certifications and to ensure UDOT records reflect their firm's records. A requirement for a responsive SOQ is to provide proof that every proposed staff member meets the certification requirements for their proposed role on the project. Therefore, Consultants are required to include a second PDF in the same email as their SOQ PDF, showing the appropriate certifications have been met and are reflected in UDOT records. The PDF for Proof of Certification should include, in one file, one of the following:

- A) Construction Certification Chart printouts showing all of the firm's staff, highlighting the proposed staff
- B) Separate Construction Certification Chart printouts showing each individual's CEMT, IQP, and/or Partnering certifications
- C) A combination of A and B

Proof of Construction Certification – Guidelines:

- Contact the RFQ Contract Administrator for all questions or concerns regarding this requirement.
- Be aware of any potential webinar or class dates affecting certification of employees listed on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*. Grace periods may alter certification and/or expiration dates on the Construction Certification Charts.
- Printouts must be “screen prints” or printed from the UDOT Construction Certification Charts showing the date stamp from the web sites.
- Staff members must maintain certification throughout the duration of the contract.
- The UDOT Construction Certification Charts include “Certified” and “Expiration” dates to assist Consultants in presenting staff having appropriate certification.
- Providing proof of Lab (LQP) and Lab Technician (TTQP) certification is optional. Central Materials will confirm LQP and TTQP certification from Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*.
- All certifications must be identified on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*.
- Review your Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* to ensure staff members are showing appropriate responsibilities and certification levels for their proposed role on the project.
- Certification information and requirements are identified in Appendix E *Instructions for Construction Engineering Management Services*.
- Refer to <http://connect.udot.utah.gov/p3dxrftstg4/> for a video training session.
- Refer to www.udot.utah.gov/go/cemt or www.udot.utah.gov/go/ttqp.

Proof of Construction Certification – Penalty Points:

Submit two separate PDFs; the SOQ in one PDF and a second PDF with proof of certification. If the SOQ and proof of certification are submitted as one PDF file, the SOQ will be assessed two (2) penalty points.

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Proof of Construction Certification – Disqualification:

Consultants will be disqualified if:

- Staff members included on your Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* do not meet certification requirements for their proposed role on the project.
- Proof of construction certification is not received for CEMT, IQP and Partnering.
- Proof of construction certification is submitted as exported or Excel files.
- Proof of construction certification printouts do not reflect system date stamps between **October 18, 2013 and the SOQ submission deadline (up to a two week window)**.
- Labs (LQP) and Lab Technicians (TTQP) do not meet minimum certification.

Proof of Construction Certification – Examples:

UDOT has updated the UDOT Construction Qualification Programs database. Information is available in the UDOT Construction Certification Charts on the UDOT Construction web sites listed above in the *Proof of Construction Certification – Guidelines*. Certifications are color coded as follows:

- Yellow highlighted dates indicate “Certification is not complete because of missing requirements.”
- Red highlighted dates indicate “Certification has expired”.

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Example of CEMT Certification

The screenshot shows the 'CEMT Outcome' web application in a Windows Internet Explorer browser. The URL is <https://app.udot.utah.gov/apex/prd7/f?p=315:465:0::NO::>. The page displays the 'Construction Engineering Management Training Course Outcome' search results for the user 'Bastow' as of 28-Mar-2013. The search criteria include Session (All Sessions), Last Name (bastow), Date (28-Mar-2013), Company (All Companies), and First Name (empty). The results table shows the following data:

Session	Starts	Company	Last Name	First Name	Registered	Certified	Expiration	C1	C2	C3	C4	C5	C6	C7	C8	W1	W2	W3	W4	W5	W6	WS1
SPRING 10	01-02-10	UDOT	Bastow	Cali	01-21-10	03-15-12	03-15-15	P	P	P	P	P	P	P	P							X
2011 WEBINARS	01-01-11	UDOT	Bastow	Cali												X	X	X	X	X	X	
2012 WEBINARS	01-01-12	UDOT	Bastow	Cali												X	X	X	X	X	X	X
2013 WEBINARS	01-01-13	UDOT	Bastow	Cali												X						X

Legend: MM-DD-YY = Certification is not complete because of missing requirements. MM-DD-YY = Certification has expired.

(Export to a Spreadsheet) 1 - 4

- Screen print shows a system date of 28-Mar-2013 (example only – date must meet RFQ requirements).
- Proposed staff has “Certified” and “Expiration” dates. Dates are not highlighted.
- In this example, the proposed staff is certified.

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Example of IQP Certification

Inspection Qualification Program Training Course Outcome

Session: -- All Sessions -- Last Name: bastow Date: 28-Mar-2013
 Company: -- All Companies -- First Name: Rows: 15 [Search] [Reset] [Home] (Hover over column headings for course details)

Session - Student - Course Outcome

MM-DD-YY - Certification is not complete because of missing requirements. MM-DD-YY - Certification has expired.

Session	Starts	Company	Last Name	First Name	Registered	Certified	Expiration	C Cushion	Expiration	C1	C2	C3	C4	C5	C6	C7	P1	P2	P3	INT	INS
FALL 10	09-18-10	UDOT	Bastow	Call	10-06-10									P	P		X	X			
SPRING 11	02-01-11	UDOT	Bastow	Call										P	P		X	X			
FALL 11	09-17-11	UDOT	Bastow	Call	10-05-11												X	X			
SPRING 12	01-30-12	UDOT	Bastow	Call	02-23-12		03-06-15			P	P	P	P	P	P	P	X	X		P	P

(Export to a Spreadsheet)

- Screen print shows a system date of 28-Mar-2013 (example only – date must meet RFQ requirements).
- Proposed staff has an “Expiration” date. The Expiration Date is highlighted indicating staff is missing requirement(s).
- Crash Cushion course is missing, therefore staff is not certified.
- The Consultant should send proof of payment and registration for Crash Cushion course to Mike Garcia and/or Rachel Axelrod to update the on-line Construction Certification Charts before printing the Chart for submission with the SOQ.
- NOTE: The above printout is an example of a non-certified individual who should not be included in proposed staffing plans.

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Example of Partnering Certification

Partnering Attendees

Company: Last Name: Date: 28-Mar-2013
 First Name: Rows:

Student - Phases Attended

MM-DD-YY - Certification has expired.

Company	Last Name	First Name	Phase 1 Attended	Phase 2 Attended	Phase 3 Attended	Expiration Date
UDOT	Bastow	Cali P.	10-20-10	10-21-10		10-21-13

(Export to a Spreadsheet) 1 - 1

- Screen print shows a system date of 28-Mar-2013 (example only – date must meet RFQ requirements)
- Proposed staff has an “Expiration” date. The date is not highlighted.
- Phase 2 is less than three years; Phase 3 is not required.
- If more than three years time had elapsed since Phase 2 was completed, Phase 3 would be required.
- If more than three years time has elapsed since Phase 3 was completed, a refresher course would be required.
- The Consultant should send proof of payment and registration for Partnering course to Mike Garcia and/or Rachel Axelrod to update the on-line Construction Certification Charts before printing the Chart for submission with the SOQ.
- In this example, the proposed staff is certified.